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COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/901,227 | 07/09/2001 | Vipul Bansal | JP920010123US1 |

IBM CORPORATION
INTELLECTUAL PROPERTY LAW DEPT.
P.O. BOX 218
YORKTOWN HEIGHTS, NY 10598

CONFIRMATION NO. 6227
FORMALITIES LETTER



OC00000006463767

Date Mailed: 08/23/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

Chantilly Young
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/23/2001 EABUBAK1 00000025 090468 09901227

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Vipul Bansal, et al.
Serial No.: 09/901,227
Filed: July 9, 2001
Confirmation No. 6227

Docket No. JP920010123US1
Group Art Unit: 2161
Dated: October 17, 2001

For: **ONLINE E-COMMERCE TRANSACTIONS INCORPORATING EFFECTS OF UNCERTAINTY AND RISK FACTORS**

Commissioner for Patents
Washington, D.C. 20231

Attn: APPLICATION DIVISION, SPECIAL HANDLING UNIT

**RESPONSE TO NOTICE TO FILE MISSING PARTS
OF NONPROVISIONAL APPLICATION**

Sir:

Submitted herewith is a Declaration, properly signed by the Applicants referencing application Serial No. 09/901,227 as originally filed on July 9, 2001. Accordingly, the above-identified application is now complete.

Please charge Deposit Account No. 09-0468 in the amount of \$130.00 for the surcharge for filing the Declaration on a date later than the filing date of the application.

Respectfully submitted,

By Stephen C. Kaufman
Stephen C. Kaufman (Reg. 29,551)
Attorney for Applicants
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Sector
[Handwritten signature]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of: Vipul Bansal, et al. Confirmation No. 6227

Serial No.: 09/901,227 Examiner:

Filed: July 9, 2001 Group Art: 2161

For: ONLINE E-COMMERCE TRANSACTIONS INCORPORATING EFFECTS OF UNCERTAINTY AND RISK FACTORS

Commissioner for Patents
Washington, D. C. 20231

CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)

I hereby certify that the attached correspondence comprising:

1. Acknowledgement Postcard
2. Notice to File Missing Parts of Nonprovisional Application
3. Response to Notice to File Missing Parts
4. Executed Declaration and Power of Attorney
5. Assignment to IBM with Recordation Form
6. Information Disclosure Statement
7. PTO-1449 with References
8. Submission of (5) Formal Drawings

is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

*Assistant Commissioner for Patents
Washington, D.C. 20231*

on October 17, 2001.

Kathy Cognatello

(Type or print name of person mailing paper)

Kathy Cognatello

(Signature of person mailing paper)

Docket No.: JP920010123US1